

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 4752-004
		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold; text-align: center;">10/521 095</div>
INTERNATIONAL APPLICATION NO. PCT/JP2003/008115	INTERNATIONAL FILING DATE June 26, 2003	PRIORITY DATE CLAIMED July 19, 2002
TITLE OF INVENTION RESEARCH-AND-DEVELOPMENT INVESTMENT SECURITIES SELLING METHOD, SYSTEM, PROGRAM, AND RECORDING MEDIUM		
APPLICANT(S) FOR DO/EO/US Kimio ISHIMARU; Takashi KANAMORI; Nobuo MIYABE		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) as indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is transmitted hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendment has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under CFR 1.76 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4) 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4) 20. <input checked="" type="checkbox"/> Other items or information: International Search Report; PCT/IB301; PCT/IB304; PCT/IB308; PCT/ISA/210; 220. 		

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21. The following fees are submitted:				CALCULATIONS PTO USE ONLY	
<input checked="" type="checkbox"/> a) Basic national fee	\$ 300.00	\$ 300.00			
<input checked="" type="checkbox"/> b) Examination fee	\$ 200.00	\$ 200.00			
<input checked="" type="checkbox"/> c) Search fee	\$ 500.00	\$ 500.00			
TOTAL ABOVE CALCULATIONS =		\$1,000.00			

☐ Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof

Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		× \$250.00	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	22 - 20 =	2	× \$ 50.00	\$	100.00
Independent Claims	12 - 3 =	9	× \$200.00	\$	1800.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)	+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =		\$	2800.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.

SUBTOTAL =	\$	2800.00
Processing fee of \$130.00 for furnishing the English translation later than the 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	+	\$ 0.00
TOTAL NATIONAL FEE =		\$ 0.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property	+	\$ 0.00
TOTAL FEES ENCLOSED =		\$ 2800.00

Amount to be refunded:		
Amount to be charged		

a. ☐ A check in the amount of \$ _____ .00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 07-1337 in the amount of \$ ____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1337. A duplicate copy of this sheet is enclosed.

c. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. Kindly use the attorneys' address associated with the following Customer Number for future correspondence.

SEND ALL CORRESPONDENCE TO: LOWE HAUPTMAN GILMAN & BERNER, LLP 1700 Diagonal Road, Suite 300 Alexandria, VA 22314 (703) 684-1111	Customer No. 22429 <small>PATENT TRADEMARK OFFICE</small>
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SIGNATURE Kenneth M. Berner NAME 37,093 REGISTRATION NUMBER	
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